



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/789,975	02/27/2004	Jean-Marie Gatto	CYBS5858	9438

22430 7590 06/30/2005
YOUNG LAW FIRM
A PROFESSIONAL CORPORATION
4370 ALPINE ROAD SUITE 106
PORTOLA VALLEY, CA 94028

EXAMINER

SON, LINH L D

ART UNIT PAPER NUMBER

2135

DATE MAILED: 06/30/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/789,975

Applicant(s)

GATTO ET AL.

Examiner

Linh LD Son

Art Unit

2135

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 27 February 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-96 is/are pending in the application.
- 4a) Of the above claim(s) 26-70, and 91-93 is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-25, 71-90, and 94-96 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date 6/04, 2/04.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

DETAILED ACTION

1. This office action is written in responding to the Election received on March 25th, 2005. Applicant elected group I, which includes claims 1-25, 71-90, and 94-96.
2. Claims 1-96 are pending.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1-25, 71-90, and 94-96 are rejected under 35 U.S.C. 102(e) as being anticipated by Kido et al, US Patent No. 6571254B1, hereinafter "Kido".
5. As per claims 1-4, Kido discloses "A PKI certificate architecture for a network connected gaming system" in (Col 11 lines 5-18, and lines 35-44, and Figure 2), "wherein each software component within the gaming system subject to receive certification is signed with a distinctive certificate, the certificate being uniquely identified by at least one field" in (Col 11 lines 55-65).

6. As per claims 5-6, Kido discloses "A PKI certificate architecture according to claim 1, wherein the at least one field is the field denoted as the "issued to" field, the "subject name" field, the "CommonName" field or the "publisher" field" in (Col 12 line 65 to Col 13 line 20).

7. As per claims 7-8, Kido discloses "A PKI certificate architecture according to claims 1 and 7, wherein the at least one field comprises at least one of: a software component part number; a software component major version number; a software component minor version number; a software component build number; a software component revision number; a software component project name; a software component type of software component; a software component language variant; a software component game regulation variant; a software component friendly name; an identification of the certification laboratory, and an identification of the client" in (Col 12 line 65 to Col 13 line 20).

8. As per claims 9-12, Kido discloses "A PKI certificate architecture according to claim 1, wherein at least a portion of the at least one field is reported in the windows event log upon execution of the software component" in (Col 13 lines 50-62).

9. As per claims 13-14, Kido discloses "A PKI certificate architecture according to claim 1, wherein the network connected gaming system is connected in at least one of a

Art Unit: 2135

local area system and wide area network” in (Col 11 lines 5-18, and lines 35-44, and Figure 2).

10. As per claim 15, Kido discloses “A PKI certificate architecture according to claim 1, wherein the at least one field contains identification information delimited with file-name-allowed non-alphanumeric characters to facilitate human identification, string searches and file searches” in (Col 13 lines 11-20).

11. As per claim 16, Kido discloses “A PKI certificate architecture according to claim 1, wherein a selected set of identification information making up the at least one field are used for making up the file name of PKI certificate related files such as “.CER, *.P7B and *.PVK such as to facilitate human identification, string searches and file searches” in (Col 11 line 62 to Col 12 line 15, and Figure 3).

12.

13. As per claims 17-21, Kido discloses “A method for a network connected gaming system to prevent unauthorized software components from executing” in (Col 11 lines 5-18, and lines 35-44, Col 11 line 55 to Col 12 line 6, and Figure 2), “comprising the steps of: producing a separate PKI certificate for each software component subject to receiving certification; code signing each software component subject to receiving certification with its respective PKI certificate, and configuring Software Restriction Policy certificate rifles to allow execution of a selected set of each software component

Art Unit: 2135

subject to receiving certification” in (Col 11 line 55 to Col 12 line 6, and Col 12 line 46 to Col 13 line 10).

14. As per claims 22-25, Kido discloses “A method for a network connected gaming system to enable only authorized software components to execute, comprising the steps of: configuring a certificate Software Restriction Policy for each authorized software component” in (Col 11 lines 5-18, and lines 35-44, Col 11 line 55 to Col 12 line 6, and Figure 2), “configuring a path Software Restriction Policy to prevent unauthorized software components from executing; configuring a path Software Restriction Policy to prevent non-explicitly authorized software components from executing; enforcing the certificate Software Restriction Policies, and enforcing the path Software Restriction Policies” in (Col 11 line 55 to Col 12 line 6, and Col 12 line 46 to Col 13 line 10).

15. As per claim 71, Kido discloses “A method for a network connected gaming system to prevent unauthorized executable files from executing, comprising the steps of: packaging the authorized executable files into a code signed MSI installation package” in (Col 11 lines 5-18, lines 20-30, and lines 35-44, Col 11 line 55 to Col 12 line 6, and Figure 2), “configuring certificate rule policies to enable execution of the code signed MSI installation package; enforcing the policies, and executing the code signed MSI installation package upon every computer startup or upon a command” in (Col 11 line 55 to Col 12 line 6, and Col 12 line 46 to Col 13 line 10).

Art Unit: 2135

16. As per claim 72, Kido discloses "A method for a network connected gaming system according to claim 71, wherein the code signing uses a distinctive PKI certificate for each MSI installation package" in (Col 12 lines 20-30, and Col 11 lines 55-65).

17. As per claim 73, Kido discloses "A method for a network connected gaming system to prevent unauthorized executable code from executing" in (Col 11 lines 40-45), "comprising the steps of: packaging the authorized executable files into a code signed MSI installation package" in (Col 12 lines 20-30, and lines 55-65); "configuring certificate rule policies to enable execution of the code signed MSI installation package; configuring enforcement of the policies" in (Col 12 line 50 to Col 13 line 20), and "re-installing the code signed MSI installation package at every computer startup or upon a command" in (Col 12 lines 1-30).

18. As per claim 74, Kido discloses "A method for a network connected gaming system according to claim 73, wherein the code signing uses a distinctive PKI certificate for each MSI installation package" in (Col 11 lines 60-65).

19. As per claims 75-78, Kido discloses "A method for a network connected gaming system to prevent unauthorized non executable files to affect game outcome" in (Col 11 lines 40-45 and Figure 3), "comprising the steps of: packaging the non-executable files into a code signed MSI installation package" in (Col 12 lines 20-30, and lines 55-65); "configuring certificate rule policies to enable execution of the code signed MSI

Art Unit: 2135

installation package; configuring enforcement of the policies" in (Col 12 line 50 to Col 13 line 20), "an executing the code signed MSI installation package 'upon every computer startup or upon a command" in (Col 12 lines 1-30).

20. As per claims 79-81 Kido discloses "A method for scheduling at least one authorized executable software component installed in a network connected gaming system" in (Col 11 lines 40-45 and Figure 3), "comprising the steps of: packaging at least one authorized non-executable file that control the scheduling of the at least one authorized executable software component into at least one code signed MSI installation package" in (Figure 3, Col 12 lines 20-30, and lines 55-65); "; configuring certificate rule policies to enable execution of the at least one code signed MSI installation package in a selected set of gaming terminals; and configuring enforcement of the certificate rule policies; and downloading the at least one code; signed MSI installation package into a selected set of gaming terminals; executing the at least one code signed MSI installation packages" in (Col 12 lines 1-15, and Col 12 line 50 to Col 13 line 20).

21. As per claims 82-89, Kido discloses "An automated platform to enable the on-going regulatory certification of a substantial number of authorized software components, comprising: a reference platform representative of a target network connected gaming system and comprising a software-building environment located at the manufacturer's premises or designated subcontractors" in (Col 11 lines 20-35, lines

Art Unit: 2135

40-46, and Col 11 lines 40-45 and Figure 3), "a certification platform located at a regulatory certification authority substantially identical to the reference platform, and code-signing means for associating a distinctive PKI certificate with each authorized software component" in (Col 11 lines 55-65).

22. As per claim 90, Kido discloses "An automated platform according to claim 82, wherein the software-building environment of the reference platform and the software-building environment of the certification platform are maintained synchronized" in (Col 11 lines 20-35).

23. As per claims 94-96, Kido discloses "A method for a gaming terminal in a network connected gaming system to generate a list of authorized games available to players comprising the steps of: generating an executable companion file for each authorized game" in (Col 12 line 50 to Col 13 line 20), "wherein the executable companion file is substantially quicker to execute than starting execution of the game and, wherein the code-signed PKI certificate associated to the companion file is identical to the code-signed PKI certificate associated to the game main module" in (Col 12 lines 29-34); "enforcing Software Restriction Policy for preventing non-authorized software components from executing; enforcing Software Restriction Policy for enabling execution of a selected set of authorized games; attempting to execute each companion file, and adding only those games to a menu list whose companion file has not been denied execution" in (Col 12 lines 34-45, and line 64 to Col 13 line 20).

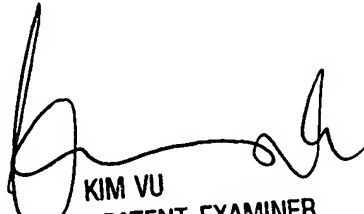
Art Unit: 2135

24. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Linh LD Son whose telephone number is 571-272-3856. The examiner can normally be reached on 9-6 (M-F).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Vu can be reached on 571-272-3859. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Linh LD Son
Examiner
Art Unit 2135


KIM VU
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100